

## PCT

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## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)


10/507131

Applicant's or agent's file reference TNor 2 115045 TV	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/PEAA416)	
International application No. PCTNO 03/00093	International filing date (day/month/year) 18.03.2003	Priority date (day/month/year) 18.03.2002
International Patent Classification (IPC) or both national classification and IPC G06F1/00, G06F1/00		
Applicant TELENOR ASA et al.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of 6 sheets, including this cover sheet.
- ☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).
- These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the opinion
- II ☐ Priority
- III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand  14.10.2003	Date of completion of this report  19.05.2004
Name and mailing address of the international preliminary examining authority:   European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized Officer  Gordon, M  Telephone No. +49 89 2399-2901



**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. **PCT/NO 03/00093**

**I. Basis of the report**

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

**Description, Pages**

1-23 as originally filed

**Claims, Numbers**

1-14 as originally filed

**Drawings, Sheets**

1-5 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:
- ☐ the drawings, sheets:

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5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Yes: Claims	1-14
	No: Claims	
Inventive step (IS)	Yes: Claims	1-14
	No: Claims	
Industrial applicability (IA)	Yes: Claims	1-14
	No: Claims	

2. Citations and explanations

**see separate sheet**

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**Re Item V**

**Reasoned statement with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Reference is made to the following document:  
D1: WO 01/72009 A (AT & T CORP) 27 September 2001 (2001-09-27)
2. According to the features defined in independent apparatus claim 1 (to which independent method claim 13 appears to correspond exactly, hence comments regarding claim 1 apply equally to claim 13), the claimed system appears to perform the following two separate actions:
  - i) validation of a user certificate and deriving from it the user name, comprising the steps of:
    - \* receiving a user's certificate from an access server,
    - \* validating the certificate in a validation service unit and returning the validated certificate's user name to the access server,
    - \* passing the certificate name to an authorisation service unit and on to an authorisation role unit which locates the user name and profile in an adjoining database and returns these to the authorisation service unit,
    - \* returning the user name from the authorisation service unit to the access server, directly or via the validation service unit,
  - ii) determining and supplying access rights in response to a query for same, comprising the steps of:
    - \* receiving a query for access rights from an access server, translating it into a query for subscription info and passing that query to a database,
    - \* receiving desired subscription info from the database, determining from that the access rights and passing these back to the access server.
3. Document D1 is regarded as being the closest prior art to the subject-matter of independent claims 1 and 13, and shows (see D1, page 1, lines 6 to 10 and page 2, line 29 to page 3, line 8) a system for providing secure service access according to claim 1, lines 2 to 5.

These actions are managed in the validation service unit, the authorisation service unit and the authorisation role unit with its adjoining database.

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- 3.1 For performing the first of the two actions claimed, namely, validating the user's certificate (see 2. i) above), D1 discloses an authorisation proxy 120 that appears to correspond generally to the validation service unit in claim 1, lines 6 to 13.
- 3.2 The authorisation proxy of D1 discloses (see D1, page 6, lines 14 to 20, 24 to 26) the steps of action i) in claim 1, lines 6 to 9 "valid" and 11 "passing" to 13 of:  
receiving a name in a user certificate from an access server,  
controlling the validity of the user certificate,  
if the user's certificate is valid, passing the user's certificate name back to the access server,  
if the user's certificate is not valid, denying the user access to the service.
- 3.3 The authorisation proxy 120 does not appear to disclose the steps of action i) in claim 1, lines 9 "either" to 11 "or" of alternatively:  
sending the user's certificate name to an authorization service unit for translation to a user name, and passing the user name returned from the authorization service unit to the access server.
- 3.4 For performing the second of the two actions claimed, namely, determining and supplying access rights in response to a query for same (see 2. ii) above), D1 discloses (see D1, page 3, lines 9 to 14, page 7, line 22 to page 8, line 6, and page 8, lines 14 to 19) the steps of action ii) in claim 1, lines 21 and 25 of:  
receiving a query for access rights from an access server,  
passing access rights back to the access server.
- 3.5 D1 does not appear to disclose the steps of action ii) in claim 1, lines 22 to 24 of:  
querying for subscription info from the database,  
receiving subscription info from the database,  
determining access rights based on said subscription info.
- 3.6 Furthermore, D1 does not appear to disclose any of the remaining steps defined in claim 1, lines 15 to 20 and 27 to 33. In particular, the transactions involving locating and retrieving the user name and profile, querying for and retrieving subscription info and determining from them access rights, and the presence and involvement of the authorisation service unit, the authorisation role unit and its adjoining database are neither disclosed nor suggested in D1.
4. The subject-matter of independent apparatus claim 1 and independent method

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claim 13 therefore appears to be new according to Article 33(2) PCT.

5. The problem to be solved by the present invention may be regarded as providing the missing features, listed above in paragraphs 3.3, 3.5 and 3.6.
- 5.1 The solution to this problem, as proposed in claims 1 and 13 of the present application is considered to involve an inventive step since these features are neither disclosed nor suggested by the disclosures of D1.
- 5.2 The subject-matter of independent apparatus claim 1 and independent method claim 13 therefore appears to involve an inventive step according to Article 33(3) PCT.
- 5.3 Claims 2 to 12 and 14 are dependent on claims 1 and 13 and as such would also appear to satisfy the requirements of the PCT with respect to novelty and inventive step.
6. The independent claims are unclear (Article 6 PCT) since the two actions listed in paragraph 2 above appear to be defined in different ways in various parts of the claims where they relate to the validation service unit, the authorisation service unit and the authorisation role unit with its adjoining database.
7. Two documents were cited in the international search report but were not considered in the international preliminary examination phase, according to R64.3 PCT. They are mentioned below according to Rule 70.10 PCT. One or both of these documents may become relevant in a further regional e.g. European phase.

**Certain published documents:**

Application No Patent No	Publication date (day/month/year)	Filing date (day/month/year)	Priority date (valid claim) (day/month/year)
WO 02 39237	16.05.2002	25.10.2001	09.11.2000
US2003/0074580	17.04.2003	21.03.2001	21.03.2001